

DOCKET NO. 03AB014C/ALBRP303USC

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **David D. Brandt *et al.***

Serial No.: **10/661,696**

Filed: **September 12, 2003**

For: **SYSTEM AND METHODOLOGY PROVIDING AUTOMATION SECURITY ANALYSIS, VALIDATION, AND LEARNING IN AN INDUSTRIAL CONTROLLER ENVIRONMENT**

Art Unit: **2131**

Examiner: **Unknown**

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120(c), or (c) U.S. Patent(s) and published application(s):

Serial No.: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) \_\_\_\_ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) \_\_\_\_ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) \_\_\_\_ Within 3 months of the filing date or date of entry into the National Stage.
- (b) X Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.

(c) \_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_ The required certification is given below, or

(2) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.

(d) \_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) \_\_\_ Enclosed is a Credit Card Payment Form (PTO-2038) covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

4. Certification (if applicable)

(a) \_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,  
AMIN & TUROCY, LLP

By



Himanshu S. Amin  
Reg. No. 40,894

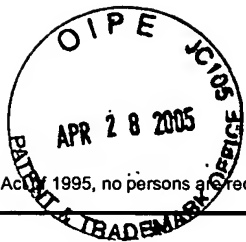
AMIN & TUROCY, LLP  
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CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

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Himanshu S. Amin



PTO/SB/08b (08-03)

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**SUPPLEMENTAL  
INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/661,696
Filing Date	September 12, 2003
First Named Inventor	David D. Brandt
Art Unit	2131
Examiner Name	
Attorney Docket Number	03AB014/ALBRP303USC

Sheet 1 of 1

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		F. OLAECHEA; Partial European Search Report; EP 03 02 3916; The Hague, November 16, 2004.	
		INSIGHT CONSULTING; Insight on CRAMM IV; Insight Consulting Online; November 30, 2001; <a href="http://www.infosec-associates.com/framework/downloads/insight_cramm.pdf">http://www.infosec-associates.com/framework/downloads/insight_cramm.pdf</a>	
		INTERKAMA; DuPont Shares Network Security Methodology; Interkama Online, March 15, 2002; <a href="http://www3.interkama.com/cipp/interkama/custom/pub/content_lang_2/ticket_g_u_e_s_t/oid_3781">http://www3.interkama.com/cipp/interkama/custom/pub/content_lang_2/ticket_g_u_e_s_t/oid_3781</a> .	
		ROCKWELL AUTOMATION; Rockwell Automation and DuPont Engineering sign worldwide licensing agreement to standardize and improve industrial computer networking security; Online, March 7, 2002; <a href="http://domino.automation.rockwell.com/applications/gs/region/gtwwebst.nsf/pages/Rockwell_Automation_and_DuPont_Engineering_Sign_...">http://domino.automation.rockwell.com/applications/gs/region/gtwwebst.nsf/pages/Rockwell_Automation_and_DuPont_Engineering_Sign_...</a>	
		D. SPINELLIS, S. KOKOLAKIS and S. GRITZALIS; Security Requirements, risks and recommendations for small enterprise and home-office environments; Information Management & Computer Security; Online, vol. 7, no. 3, December 31, 1999; <a href="http://www.dmst.aueb.gr/dds/pubs/jrnl/1999-IMCS-Soft-Risk/html/soho.pdf">http://www.dmst.aueb.gr/dds/pubs/jrnl/1999-IMCS-Soft-Risk/html/soho.pdf</a>	
		WILMINGTON SECTION ISA; Wilmington ISA Section Plant Tour of Astropower; ISA Online, March 21, 2001; <a href="http://www.isa.org/{wilmdl/Sensor/Mar01.pdf">http://www.isa.org/{wilmdl/Sensor/Mar01.pdf</a>	
		D. HARROLD; Control Engineering; Online, March 1, 2003; <a href="http://www.manufacturing.net/ctl/article/CA283196">http://www.manufacturing.net/ctl/article/CA283196</a> .	
		L. FALKENAU; Site networking and beyond; ISA, Online, July 1, 2003; <a href="http://www.isa.org/InTechTemplate.cfm?Section=Departments4&amp;template=/ContentManagement/ContentDisplay.cfm&amp;ContentID=28025">http://www.isa.org/InTechTemplate.cfm?Section=Departments4&amp;template=/ContentManagement/ContentDisplay.cfm&amp;ContentID=28025</a> .	

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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